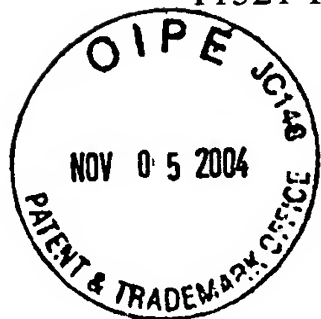


ATTORNEY DOCKET NO.
11321-P011C1D6

PATENT
Serial No. 10/027,670



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application: Colbert, et al.
Serial No.: 10/027,670
Filed: December 21, 2001
Confirmation No: 1672
Art Unit: 1754
Examiner: Peter J. Lish
For: METHOD FOR FORMING COMPOSITE ARRAYS OF SINGLE-WALL CARBON
 NANOTUBES AND COMPOSITIONS THEREOF

Mail Stop: Petitions
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PETITION UNDER 37 C.F.R. § 1.48 TO CORRECT THE INVENTORSHIP

Dear Sir:

This petition under 37 C.F.R. § 1.48 is to correct the inventorship of this application. Applicant respectfully petitions the inventors be corrected to reflect the correct inventorship of this invention to the following:

- 1 -

PETITION UNDER 37 C.F.R. § 1.48
TO CORRECT THE INVENTORSHIP

11/08/2004 RHEBRAHT 00000051 10027670
01 FC:1460 130.00 OP

Daniel T. Colbert
Hongjie Dai
Jason H. Hafner
Andrew G. Rinzler
Richard E. Smalley
Jie Liu
Kenneth A. Smith
Ting Guo
Pavel Nikolaev
Andreas Thess

The identification of the inventors specified on the original Declaration for this application was incorrect. This misidentification of the inventors was made through error and without deceptive intent.

The Official Filing Receipt for this application was issued on January 29, 2002. A corrected Declaration was filed on July 2, 2003 shortly after the error in the inventorship was discovered and the document was signed by the inventors. A Request for Corrected Official Filing Receipt was filed on October 22, 2003 and a Response was mailed by the PTO on November 13, 2003, advising that a Petition to Correct Inventorship was required. This Petition is being filed as soon as practicable after signature of all the required documents. Accordingly, this document is being timely filed under 37 CFR § § 1.116 and 1.312.

Attached to this Request are the following documents as specified in 37 CFR § 1.48:

1. A signed statement from all of the inventors indicating that the error in the inventorship occurred without deceptive intention on their part;
2. A copy of the Amended Declaration and Power of Attorney signed by all ten (10) inventors and filed with the PTO on July 2, 2003;

3. A copy of the Assignment signed by all ten (10) inventors and recorded with the Assignment Branch of the PTO on May 16, 2003 at Reel 014070 Frame 0372;

4. A copy of the Consent for Correction of Inventors, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;

5. Statement Under 37 CFR § 3.73(b), signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;

6. Power of Attorney and Correspondence Address Indication Form, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University; and

7. Supplemental Application Data Sheet reflecting all inventor information.

Applicant hereby requests that the inventor list and order of the inventors be changed to reflect the inventors and their order as specified above.

In the event this petition is granted, Applicant further respectfully requests the change be noted in the patent application and the file sent to the Application Processing Division for correction on the file wrapper label and the PALM data base regarding inventorship. MPEP § 605.04(g). Attached is a copy of the Official Filing Receipt with the changes to the filing receipt noted in red.

Enclosed is the Petition Fee in the amount of \$130.00. It is believed that no additional fees are due. However, the Director is hereby authorized to deposit any overpayment and debit any further charges to Deposit Account Number 23-2426 of Winstead Sechrest & Minick P.C.

ATTORNEY DOCKET NO.
11321-P011C1D6

PATENT
Serial No. 10/027,670

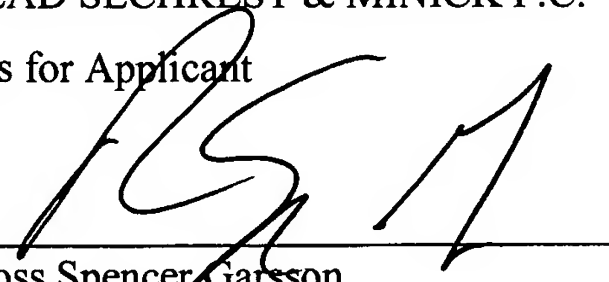
Applicant respectfully requests that Applicant's attorney be called at the below listed number if it is believed that such a discussion would be helpful in resolving any problems or questions.

Respectfully submitted,
WINSTEAD SECHREST & MINICK P.C.
Attorneys for Applicant

Date:

11/2/01

By:



Ross Spencer Garsson
Reg. No. 38,150

P.O. Box 50784
Dallas, Texas 75201
Phone: 512.370.2870
Fax: 214.745.5390

Dallas_1 4059209v.1

ASSIGNEE CONSENT FOR CORRECTION OF INVENTORS

Assignee hereby consents to the Correction of Inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/ Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
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10/000,746	11321-P011WUC1	Continuation	November 30, 2001
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10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

The correct Inventors of the invention relating to these applications are: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

WILLIAM MARSH RICE UNIVERSITY

Date: 6/22/, 2004

By:



Peter L. Schuerman
Acting Director, Office of Technology Transfer

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: William March Rice University

Application No./Patent No.: 10/027,753 Filed/Issue Date: December 21, 2001

Entitled: Method for Producing a Catalyst Support and Compositions Thereof

William March Rice University, a University,
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014070, Frame 0372, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/22/04
Date

Peter L. Schuerman

Typed or printed name

Peter L. Schuerman
Signature

Acting Director, Office of Technology Transfer

Title

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/027,753
Filing Date	December 21, 2001
First Named Inventor	Daniel T. Colbert
Title	Method for Producing a Catalyst . . .
Art Unit	1754
Examiner Name	Peter J. Lish
Attorney Docket Number	11321-P011C1D4

I hereby appoint:

☐ Practitioners at Customer Number:

OR

☒ Practitioner(s) named below:

Name	Registration Number
Ross Spencer Garsson	Reg. No. 38,150
Robert C. Shaddox	Reg. No. 34,011
Henry L. Ehrlich	Reg. No. 39,011
Edward T. Mickelson	Reg. No. 50,413

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number:

OR


☐ The address associated with Customer Number:

OR

<input checked="" type="checkbox"/> Firm or Individual Name	Winstead Sechrest & Minick P.C.				
Address	P.O. Box 50784				
Address					
City	Dallas	State	Texas	Zip	75201
Country	US				
Telephone	512.370.2870	Fax	512.370.2850		

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name	Peter L. Schuerman, Acting Director, Office of Technology Transfer, William Marsh Rice University		
Signature			
Date	6/22/04	Telephone	(713) 348-6231

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 16 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

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10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.

Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

Hongjie Dai

DATE: _____

7/14/04

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS_I39133522
11321-P011WOUS 01/07/2004



INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
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10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:  _____ **DATE:** 6/21/04

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS_1\3913352\2
11321-P011WOUS 01/07/2004

Attorney Docket No.
11321-P011 Series



INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:  _____

DATE: 07/10/04

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS_1\3913352\2
11321-P011WOUS 01/07/2004



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10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:_____ **DATE:**_____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: Kenneth A. Smith DATE: July 26, 2004

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____ DATE: _____

DALLAS_I\3913352\2
11321-P011WOUS 01/07/2004



INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

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10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:  _____

DATE: 7/7/2004

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

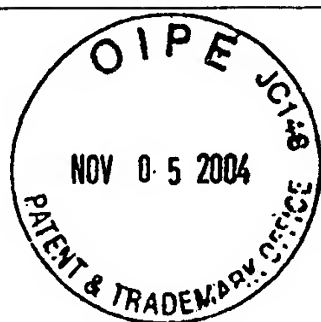
DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_1\3913352\2
11321-P011WOUS 01/07/2004



INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: 7.9.04

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_11391335212
11321-P011WOUS 01/07/2004

JUL 22 2004

ATT ✓

Attorney Docket No.
11321-P011 Series

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
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10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:_____ **DATE:**_____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas Thess

DATE: July 15 2004

DALLAS_113913352\2
11321-P011WOUS 01/07/2004

Attorney Docket No.
11321-P011 Series



JUN 21 2004
ATT

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:


Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:  **DATE:** 6/17/04

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

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DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_11391335212
11321-P011WOUS 01/07/2004

Attorney Docket No.
11321-P011 Series



INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

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10/027,750	11321-P011C1D7	Divisional	December 21, 2001
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10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: 8/10/04

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_11391335212
11321-P011WOUS 01/07/2004



INVENTOR STATEMENT

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MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
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PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: 6/30/04

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____ **DATE:_____**

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____ **DATE:_____**

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____ **DATE:_____**

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ **DATE:_____**

DALLAS_11391335212
11321-P011WOUS 01/07/2004

Attorney Docket No.
11321-P011 Series



**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

The following divisionals of United States Patent Application Serial No. 10/000,746 have been filed (the "Divisional Patent Applications"):

Appl Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

We further believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the inventions of these Divisional Patent Applications.

**Attorney Docket No.
11321-P011 Series**

Collectively, United States Patent Application Serial No. 10/000,746 and the Divisional Patent Applications are the "Applications".

We hereby state that we have reviewed and understand the contents of the above identified specifications for each of the Applications, including the claims. We hereby authorize our attorney, or his representative, to insert the Application Number, filing and amendment dates.

We acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 CFR 1.56.

We hereby claim foreign priority benefits for each of the Applications under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

We hereby claim the benefit for each of the Applications under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

Application No.
60/023,732

Official Filing Date
August 8, 1996

We hereby claim the benefit for each of the Applications under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, We acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

Attorney Docket No.
11321-P011 Series

For each of the Divisional Patent Applications, we further claim the benefit under 35 U.S.C. 120 of United States Patent Application Serial No. 10/000,746, and, insofar as the subject matter of each of the claims of any of the Divisional Patent Application is not disclosed in the this prior United States application in the manner provided by the first paragraph of 35 U.S.C. 112, we acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

POWER OF ATTORNEY: As named inventors, we hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Ross Spencer Garsson, Reg. No. 38,150
Hugh R. Kress, Reg. No. 36,574
Robert C. Shaddox, Reg. No. 34,011
Henry L. Ehrlich, Reg. No. 39,663
Timothy M. Donoughue, Reg. No. 46,668
Reece A. Scott, Reg. No. 41,297
Edward T. Mickelson, Reg. No. 50,413


of the law firm of WINSTEAD SECHREST & MINICK P.C. Please direct all correspondence to:

Ross Spencer Garsson, Esq.
WINSTEAD SECHREST & MINICK P.C.
100 Congress Avenue, Suite 800
Austin, Texas 78701 USA

and direct all telephone calls to **Ross Spencer Garsson, Esq.** at 512-370-2870 and all facsimile communications to 512-370-2850.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:  **DATE:** 2/25/03

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: Kenneth A. Smith **DATE:** 2-25-02

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2232 1/2 TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

Attorney Docket No.
11321-P011 Series



**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

☐ is attached hereto; or

☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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60/023,732

Official Filing Date
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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.
11321-P011 Series**

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Robert C. Shaddox, Reg. No. 34,011
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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: Hongjie Dai DATE: 2/27/03

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE: _____

DATE: _____

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DATE: _____

RESIDENCE: 2232 1/2 TROON
Houston, Texas 77019

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Attorney Docket No.
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INVENTOR'S SIGNATURE: _____ DATE: _____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
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CITIZENSHIP: GERMANY

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AUSTIN_1120878311
11321-P011WUC1 02/19/2003

Attorney Docket No.
11321-P011 Series



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PCT/US97/13896	8 August 1997	WO 98/05920

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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:  _____ **DATE:** 03/06/03

RESIDENCE: ~~373 Highland Ave. #203, Somerville, Massachusetts 02144 USA~~

3610 Underwood, Houston, Texas, 77025, USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

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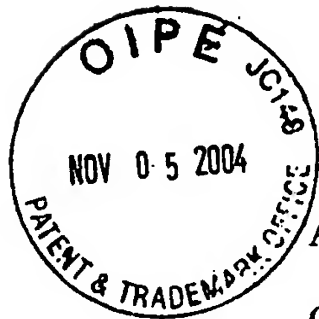
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FULL NAME OF FIRST INVENTOR: **COLBERT, Daniel T.**

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: **1911 Milford St., Houston, TX 77098 USA**

CITIZENSHIP: **United States of America**

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:  _____ **DATE:** 6/19/03

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

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CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

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DATE:_____

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 2232 ½ TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

Attorney Docket No.
11321-P011 Series

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

☐ is attached hereto; or

☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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Appl Serial No.	Att Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.
11321-P011 Series**

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Austin, Texas 78701 USA

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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

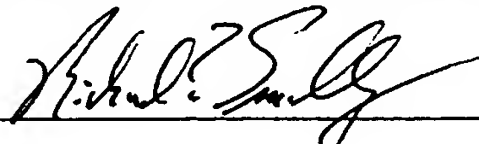
INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:  _____ **DATE:** 2/20/03

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE:_____

DATE:_____

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CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE:_____

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CITIZENSHIP: RUSSIA

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Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

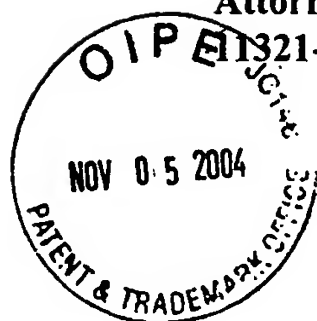
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11321-P011WUC1 02/19/2003



Attorney Docket No.

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60/023,732

Official Filing Date
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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

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CITIZENSHIP: United States of America

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CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: 

DATE: 02/21/03

RESIDENCE: ~~5825 Gulton, Apartment 3214~~
~~Houston, Texas 77081~~

502 Westminister Drive
Chapel Hill, North Carolina 27514

At 02/21/03

CITIZENSHIP: U.S.A.

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FULL NAME OF FIRST INVENTOR: **COLBERT, Daniel T.**

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: **1911 Milford St., Houston, TX 77098 USA**

CITIZENSHIP: **United States of America**

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

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POST OFFICE ADDRESS: (Same as Residence)

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11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: Kenneth A. Smith **DATE:** 2-25-03

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2232 1/2 TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

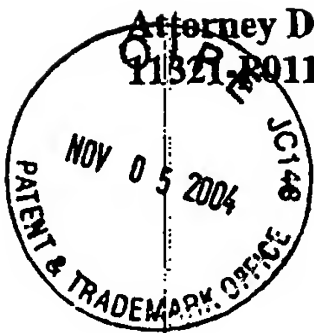
INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003



Attorney Docket No.
11321-P011 Series

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U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

☐ is attached hereto; or

☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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Appl. Serial No.	Att. Docket No.	Continuity Type	Filing Date
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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60/023,732

Official Filing Date
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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

Attorney Docket No.
11321-P011 Series

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Hugh R. Kress, Reg. No. 36,574
Robert C. Shaddox, Reg. No. 34,011
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We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:  _____

DATE: 4/7/03

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

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AUSTIN_112087831
11321-P011WUC1 02/19/2003

Attorney Docket No.
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CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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INVENTOR'S SIGNATURE: _____ **DATE:** _____

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CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

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DATE: 2.21.03

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Houston, TX 77006 PN

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CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

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Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas Thess DATE: 02/26/2003

RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare, *
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_11208783\1
11321-P011WUC1 02/19/2003

*

Andreas Thess' residence:

Andreas Kemmler Weg 3
72127 Kusterdingen
Germany

02/26/2003

Th



UNITED STATES
PATENT AND
TRADEMARK OFFICE



OCTOBER 24, 2003

Chief Financial Officer and Chief Administrative Officer
Washington, DC 20231
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WINSTEAD SECHREST & MINICK, P.C.
ROSS SPENCER GARSSON
P.O. BOX 50784
1201 MAIN STREET
DALLAS, TX 75250-07984



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UNITED STATES PATENT AND TRADEMARK OFFICE
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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/16/2003

REEL/FRAME: 014070/0372
NUMBER OF PAGES: 42

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LIU, JIE

DOC DATE: 02/21/2003

ASSIGNOR:

SMITH, KENNETH A

DOC DATE: 04/04/2003

ASSIGNOR:

GUO, TING

DOC DATE: 04/07/2003

ASSIGNOR:

NIKOLAEV, PAVEL

DOC DATE: 02/21/2003

ASSIGNOR:

THESS, ANDREAS

DOC DATE: 02/26/2003

ASSIGNOR:

COLBERT, DANIEL T.

DOC DATE: 02/25/2003

ASSIGNOR:

DAI, HONGJIE

DOC DATE: 02/27/2003

ASSIGNOR:

HAFNER, JASON H.

DOC DATE: 03/06/2003

ASSIGNOR:

RINZLER, ANDREW G.

DOC DATE: 04/16/2003

ASSIGNOR:

SMALLEY, RICHARD E.

DOC DATE: 02/20/2003

ASSIGNEE:

WILLIAM MARSH RICE UNIVERSITY
6100 MAIN STREET
HOUSTON, TEXAS 77005

SERIAL NUMBER: 10000746
PATENT NUMBER:

FILING DATE: 11/30/2001
ISSUE DATE:

SERIAL NUMBER: 10028231
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027671
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10038204
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027753
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027670
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027750
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027726
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027628
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027668
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027568
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

05-20-2003

Form PTO-1595
(Rev. 10/02)

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U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

OMB No. 0651-0027 (exp. 6/30/2005)

102452527

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

5.16.03
Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev;
Andreas Thess; Daniel T. Colbert; Hongjie Dai; Jason
H. Hafner; Andrew G. Rinzler; and Richard E. Smalley

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 2/21/03; 4/4/03; 4/7/03; 2/21/03;
2/26/03; 2/25/03; 2/27/03; 3/6/03;
4/16/03; and 2/20/03

2. Name and address of receiving party(ies)

Name: William Marsh Rice University

Internal Address: 6100 Main Street

Street Address: 6100 Main Street

City: Houston State: TX Zip: 77005

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s) 10/000,746; 10/028,231
10/027,671; 10/038,204; 10/027,753; 10/027,670;
10/027,750; 10/027,726; 10/027,628

B. Patent No.(s) _____

Additional numbers attached? ☒ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ross Spencer Garsson

Internal Address: Winstead Sechrest & Minick P.C

Street Address: P.O. Box 50784

1201 Main Street

City: Dallas State: TX Zip: 75250-0784

6. Total number of applications and patents involved: 11

7. Total fee (37 CFR 3.41).....\$ 440.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

23-2426 (11321-P011WUC1)

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9. Signature

05/19/2003 LNUELLER 00000133 10000746

Ross Spencer Garsson

Name of Person Signing

Signature

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Washington, D.C. 20231

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Continuation of Recordation Form Cover Sheet (Form PTO-1595)

4. Application number(s) or patent number(s):

A. Patent Application No.(s):

10/027,668; and 10/027,568

AUSTIN_1\214865\1
11321-P011WUC1 05/09/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

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10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, **William Marsh Rice University**, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: 2/25/03



HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

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And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: _____

HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

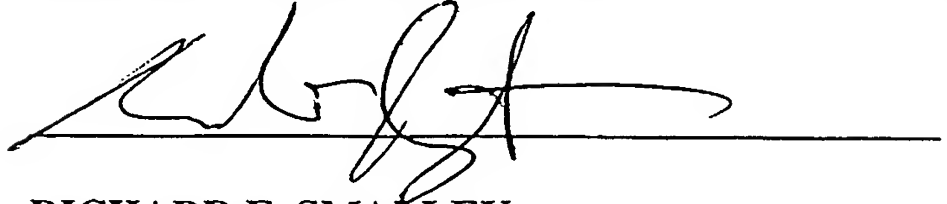
JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ANDREW G. RINZLER

~~a resident of Houston, Texas~~ NEWBERRY, FL AGR.
4/16/03

Dated: 4/16/03



RICHARD E. SMALLEY

a resident of Houston, Texas

Dated: _____

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

 X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

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10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, **William Marsh Rice University**, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

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a resident of Houston, Texas

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Dated: _____

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a resident of Somerville, Massachusetts

Dated: _____

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: 2/20/03

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IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

12 02/21/03

JIE LIU

a resident of ~~Houston, Texas~~ Chapel Hill, North Carolina

Dated: 02/21/03



KENNETH A. SMITH

a resident of Katy, Texas

Dated: _____

TING GUO

a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV

a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

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IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU
a resident of Houston, Texas

Dated: _____

KENNETH A. SMITH
a resident of Katy, Texas

Dated: 4.4.03



TING GUO
a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV
a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

AUSTIN_1\211971\1
11321-P011WUC1 04/04/2003

ASSIGNMENT

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JIE LIU
a resident of Houston, Texas

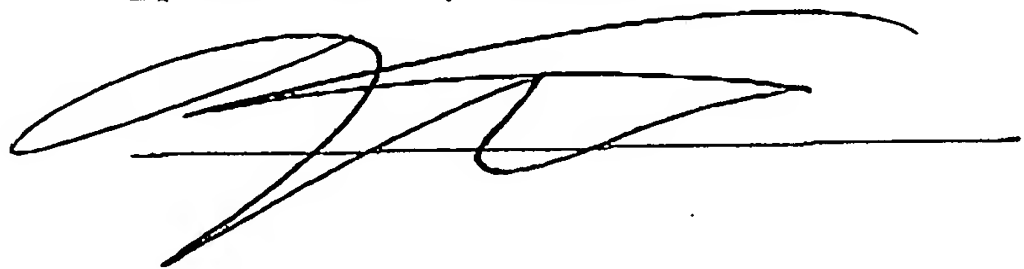
Dated: _____

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Dated: _____

TING GUO
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11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

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AUSTIN_1\208780\1
11321-P011WUC1 02/19/2003

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WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU
a resident of Houston, Texas

Dated: _____

KENNETH A. SMITH
a resident of Katy, Texas


Dated: _____

TING GUO
a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV
a resident of Houston, Texas

Dated: 2.21.03

 _____

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

AUSTIN_I\208780\1
11321-P011WUC1 02/19/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU
a resident of Houston, Texas

Dated: _____

KENNETH A. SMITH
a resident of Katy, Texas

Dated: _____

TING GUO
a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV
a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Kusterdingen

02/26/2003

JB

Dated: 02/26/2003

Andreas *JB*

AUSTIN_1\208780\1
11321-P011WUC1 02/19/2003

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/000,746
Filing Date	11/30/2001
First Named Inventor	Daniel T. Colbert
Group Art Unit	2881
Examiner Name	Not Yet Assigned
Attorney Docket Number	11321-P011WUC1

Total Number of Pages in This Submission **44****ENCLOSURES (check all that apply)**

- | | | |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form
<input checked="" type="checkbox"/> Fee Attached
<input type="checkbox"/> Amendment / Reply
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Extension of Time Request
<input type="checkbox"/> Express Abandonment Request
<input type="checkbox"/> Information Disclosure Statement
<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application)
<input type="checkbox"/> Drawing(s)
<input type="checkbox"/> Licensing-related Papers
<input type="checkbox"/> Petition
<input type="checkbox"/> Petition to Convert to a Provisional Application
<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address
<input type="checkbox"/> Terminal Disclaimer
<input type="checkbox"/> Request for Refund
<input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
Recordation Cover Sheet; Check No. 002720 (\$440.00); Postal Card Receipt Card |
|--|--|---|

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm
or
Individual name

Ross Spencer Garsson, Winstead Sechrest & Minick P.C.

Signature

Date

05/12/03

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 05/12/2003

Typed or printed name

Gracie Sois

Signature

Date

05/12/2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 440.00

Complete if Known

Application Number	10/000,746
Filing Date	November 30, 2001
First Named Inventor	Daniel T. Colbert
Examiner Name	Not Yet Assigned
Art Unit	2881
Attorney Docket No.	11321-P011WUC1

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

23-2426

Winstead Sechrest & Minick P.C.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$ 0.00	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims -20** = X =

Independent Claims -3** = X =

Multiple Dependent =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$ 0.00	

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	440.00
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 440.00

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Ross Spencer Garson	Registration No. (Attorney/Agent)	38,150	Telephone	512/370-2870
Signature		Date	5/12/03		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Application Data Sheet

Application Information

Application number::	10/027,670
Filing Date::	December 21, 2001
Application Type::	Regular
Subject Matter::	Utility
Suggested Classification::	
Suggested Group Art Unit::	1754
CD-ROM or CD-R?::	None
Number of CD disks::	
Number of copies of CDs::	
Sequence Submission?::	None
Computer Readable Form (CRF)?::	No
Number of copies of CRF::	
Title::	METHOD OF FORMING COMPOSITE ARRAY OF SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF
Attorney Docket Number::	11321-P011C1D6
Request for Early Publication?::	No
Request for Non-Publication?::	No
Suggested Drawing Figure::	1
Total Drawing Sheets::	14
Small Entity?::	No
Petition included?::	Yes
Petition Type::	Petition Under §1.48 to Correct Inventorship
Licensed US Govt. Agency::	
Contract or Grant Numbers::	
Secrecy Order in Parent Appl.?::	No

Applicant Information

Applicant Authority type::	Inventor
Primary Citizenship Country::	US
Status::	Full Capacity
Given Name::	Daniel
Middle Name::	T.
Family Name::	Colbert
City of Residence::	Houston
State or Province of Residence::	TX
Country of Residence::	US
Street of mailing address::	1911 Milford Street
City of mailing address::	Katy
State or Province of mailing address::	TX
Country of mailing address::	US
Postal or Zip Code of mailing address::	77098

Applicant Authority type::	Inventor
Primary Citizenship Country::	US
Status::	Full Capacity
Given Name::	Hongjie
Middle Name::	
Family Name::	Dai
Name Suffix::	
City of Residence::	Sunnyvale
State or Province of Residence::	CA
Country of Residence::	US
Street of mailing address::	365 Pescadero Street
City of mailing address::	Sunnyvale
State or Province of mailing address::	CA
Country of mailing address::	US

Postal or Zip Code of mailing address:: 94068

Applicant Authority type:: Inventor
Primary Citizenship Country:: US
Status:: Full Capacity
Given Name:: Jason
Middle Name:: H.
Family Name:: Hafner
Name Suffix::
City of Residence:: Houston
State or Province of Residence:: TX
Country of Residence:: US
Street of mailing address:: 2129 Banks
City of mailing address:: Houston
State or Province of mailing address:: TX
Country of mailing address:: US
Postal or Zip Code of mailing address:: 77098

Applicant Authority type:: Inventor
Primary Citizenship Country:: US
Status:: Full Capacity
Given Name:: Andrew
Middle Name:: G.
Family Name:: Rinzler
City of Residence:: Houston
State or Province of Residence:: TX
Country of Residence:: US
Street of mailing address:: 6666 Chetwood Street
City of mailing address:: Houston
State or Province of mailing address:: TX
Country of mailing address:: US

Postal or Zip Code of mailing address:: 77081

Applicant Authority type:: Inventor
Primary Citizenship Country:: US
Status:: Full Capacity
Given Name:: Richard
Middle Name:: E.
Family Name:: Smalley
Name Suffix::

City of Residence:: Houston
State or Province of Residence:: TX
Country of Residence:: US
Street of mailing address:: 1816 Bolsover Street
City of mailing address:: Houston
State or Province of mailing address:: TX
Country of mailing address:: US
Postal or Zip Code of mailing address:: 77005

Applicant Authority type:: Inventor
Primary Citizenship Country:: US
Status:: Full Capacity
Given Name:: Jie
Middle Name::
Family Name:: Liu
Name Suffix::
City of Residence:: Chapel Hill
State or Province of Residence:: NC
Country of Residence:: US
Street of mailing address:: 502 Westminster Drive
City of mailing address:: Chapel Hill
State or Province of mailing address:: NC

Country of mailing address::	US
Postal or Zip Code of mailing address::	27514

Applicant Authority type::	Inventor
Primary Citizenship Country::	US
Status::	Full Capacity
Given Name::	Kenneth
Middle Name::	A.
Family Name::	Smith
Name Suffix::	
City of Residence::	Katy
State or Province of Residence::	TX
Country of Residence::	US
Street of mailing address::	333 Dominion, Apartment 1334
City of mailing address::	Katy
State or Province of mailing address::	TX
Country of mailing address::	US
Postal or Zip Code of mailing address::	77450

Applicant Authority type::	Inventor
Primary Citizenship Country::	CN
Status::	Full Capacity
Given Name::	Ting
Middle Name::	
Family Name::	Guo
Name Suffix::	
City of Residence::	Davis
State or Province of Residence::	CA
Country of Residence::	US
Street of mailing address::	2612 Calder Court
City of mailing address::	Davis

State or Province of mailing address:: CA
Country of mailing address:: US
Postal or Zip Code of mailing address:: 95616

Applicant Authority type:: Inventor
Primary Citizenship Country:: US
Status:: Full Capacity
Given Name:: Pavel
Middle Name::
Family Name:: Nikolaev
Name Suffix::
City of Residence:: Houston
State or Province of Residence:: TX
Country of Residence:: US
Street of mailing address:: 614 Kipling, #9
City of mailing address:: Houston
State or Province of mailing address:: TX
Country of mailing address:: US
Postal or Zip Code of mailing address:: 77006

Applicant Authority type:: Inventor
Primary Citizenship Country:: DE
Status:: Full Capacity
Given Name:: Andreas
Middle Name::
Family Name:: Thess
Name Suffix::
City of Residence:: Kusterdingen
State or Province of Residence::
Country of Residence:: DE
Street of mailing address:: Andreas Kemmler Weg 3

City of mailing address:: Kusterdingen
State or Province of mailing address::
Country of mailing address:: DE
Postal or Zip Code of mailing address:: 72127

Correspondence Information

Correspondence Customer Number::

Name:: Ross Spencer Garsson
Street of mailing address:: P.O. Box 50784
City of mailing address:: Dallas
State or Province of mailing address:: TX
Country of mailing address:: US
Postal or Zip Code of mailing address:: 75201
Phone number:: 512.370.2870
Fax number:: 214.745.5390
E-Mail address:: rgarsson@winstead.com

Representative Designation:: **Registration Number::** **Representative Name::**

Primary	38,150	Ross S. Garsson
Associate	36,574	Hugh R. Kress
Associate	39,663	Henry L. Ehrlich
Associate	50,413	Edward T. Mickelson

Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	Division of	10/000,746	11/30/2001
10/000,746	Continuation of	09/242,040	09/13/1999
09/242,040	US National Stage	PCT/US97/13896	08/08/1997
PCT/US97/13896	Priority to & benefit of	60/023,732	08/08/1996

Foreign Priority Information

Country::	Application number::	Filing Date::	Priority Claimed::

Assignee Information

Assignee name:: William Marsh Rice University
Street of mailing address:: 6100 Main Street
City of mailing address:: Houston
State or Province of mailing address:: TX
Country of mailing address:: US
Postal or Zip Code of mailing address:: 77005

Dallas_1 4059242v.1



1754
Bh

PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/027,670
	Filing Date	December 21, 2001
	First Named Inventor	Daniel T. Colbert
	Art Unit	1754
	Examiner Name	Peter J. Lish
Total Number of Pages in This Submission	Attorney Docket Number	11321-P011C1D6

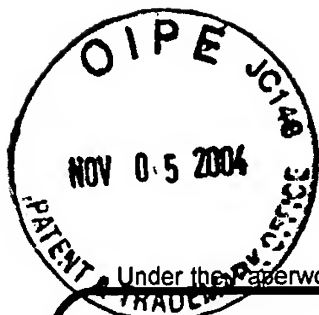
ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input checked="" type="checkbox"/> Petition to correct inventors, with seven (7) attached Exhibits	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Postal Receipt Card
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Ross Spencer Garsson Winstead Sechrest & Minick P.C.
Signature	
Date	November 2, 2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Serena Beller		
Signature		Date	November 2, 2004

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130.00

Complete if Known

Application Number	10/027,670
Filing Date	December 21, 2001
First Named Inventor	Daniel T. Colbert
Examiner Name	Peter Lish
Art Unit	1754
Attorney Docket No.	11321-P011C1D6

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
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23-2426

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The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

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FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	130.00
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Ross Spencer Garsson	Registration No. (Attorney/Agent)	38,150	Telephone	512.370.2870
Signature		Date	November 2, 2004		

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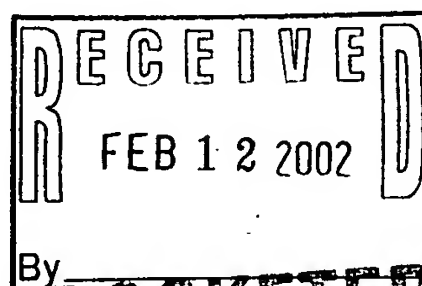
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/027,670	12/21/2001	2881	370	11321- P011C1D6		6	2

CONFIRMATION NO. 1672

Hugh R. Kress
2400 Bank One Center
910 Travis Street
Houston, TX 77002



FILING RECEIPT



OC000000007384869

Date Mailed: 01/29/2002

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Applicant(s)

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Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 10/000,746 11/30/2001
WHICH IS A CON OF 09/242,040 09/13/1999 ABN
WHICH IS A 371 OF PCT/US97/13896 08/08/1997
WHICH CLAIMS BENEFIT OF 60/023,732 08/08/1996

Foreign Applications

If Required, Foreign Filing License Granted 01/29/2002

Projected Publication Date: 05/09/2002

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Method for forming composite arrays of single-wall carbon nanotubes and compositions thereof

Preliminary Class

250

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